

FORM PTO-1449

INFORMATION DISCLOSURE STATEMENTATTY. DOCKET NO.
0942.5000001APPLICATION NO.
09/695,065APPLICANT
Brasch et al.FILING DATE
October 25, 2000GROUP
1655

U.S. PATENT DOCUMENTS

| EXAMINER INITIAL | | DOCUMENT NUMBER | DATE | NAME | CLASS | SUB- CLASS | FILING DATE |
|---------------------|-----|--------------------|------------|--------------------|-------|---------------|-------------|
| <i>u</i> | AA1 | 4,673,640 | 06/16/1987 | Backman | 435 | 68 | 04/30/1984 |
| | AB1 | 4,743,546 | 05/10/1998 | Backman et al. | 435 | 108 | 02/13/1985 |
| | AC1 | 4,959,317 | 09/25/1990 | Sauer | 435 | 172.3 | 04/29/1987 |
| | AD1 | 5,227,288 | 07/13/1993 | Blattner | 435 | 6 | 10/01/1990 |
| | AE1 | 5,354,668 | 10/11/1994 | Auerbach | 435 | 91.1 | 10/15/1993 |
| | AF1 | 5,434,066 | 07/18/1995 | Bebbee et al. | 435 | 172.3 | 03/15/1994 |
| | AG1 | 5,470,727 | 11/28/1995 | Mascarenhas et al. | 435 | 172.3 | 12/21/1993 |
| | AH1 | 5,591,609 | 01/07/1997 | Auerbach | 435 | 91.2 | 02/03/1995 |
| | AI1 | 5,614,389 | 03/25/1997 | Auerbach | 435 | 91.2 | 09/26/1995 |
| | AJ1 | 5,635,381 | 06/03/1997 | Hooykaas et al. | 435 | 172.3 | 01/20/1995 |
| <i>u</i> | AK1 | 5,658,772 | 08/19/1997 | Odell et al. | 435 | 172.3 | 07/27/1994 |

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| EXAMINER INITIAL | | DOCUMENT NUMBER | DATE | COUNTRY | CLASS | SUB- CLASS | TRANSLATION |
|---------------------|-----|-----------------|------------|---------------------|-------|---------------|-------------|
| <i>u</i> | AL1 | EP 0 160 571 A2 | 11/06/1985 | Europe | | | Yes No |
| | AM1 | EP 0 300 422 A2 | 01/25/1989 | Europe | | | Yes No |
| | AN1 | WO 91/02801 | 03/07/1991 | WIPO PCT | | | Yes No |
| | AO1 | WO 91/16427 | 10/31/1991 | WIPO PCT | | | Yes No |
| <i>u</i> | AP1 | WO 92/20791 | 11/26/1992 | WIPO PCT | | | Yes No |

OTHER (Including Author, Title, Date, Pertinent Pages, etc.)

| | | | |
|----------|----|----------|---|
| <i>u</i> | AR | <u>1</u> | Abremski, K., and Gottesman, S., "Purification of the Bacteriophage λ xis Gene Product Required for λ Excisive Recombination," <i>J. Biol. Chem.</i> 257(16):9658-9662, American Society for Biochemistry and Molecular Biology, Inc. (1982). |
| | AS | <u>1</u> | Abremski, K., and Hoess, R., "Bacteriophage P1 Site-specific Recombination - Purification and Properties of the Cre Recombinase Protein," <i>J. Biol. Chem.</i> 259:1509-1514, American Society for Biochemistry and Molecular Biology, Inc. (1984). |
| <i>u</i> | AT | <u>1</u> | Abremski, K., et al., "Bacteriophage P1 Cre-loxP Site-specific Recombination: Site-specific DNA Topoisomerase Activity of the Cre Recombination Protein," <i>J. Biol. Chem.</i> 261(1):391-396, American Society for Biochemistry and Molecular Biology, Inc. (1986). |

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| <i>u</i> | AA2 | 5,677,170 | 10/14/1997 | Devine et al. | 435 | 20.1 | 03/02/1994 |
| | AB2 | 5,677,177 | 10/14/1997 | Wahl et al. | 435 | 325 | 06/07/1995 |
| | AC2 | 5,710,248 | 01/20/1998 | Grose | 530 | 327 | 07/29/1996 |
| | AD2 | 5,723,765 | 03/03/1998 | Oliver et al. | 800 | 208 | 06/07/1995 |
| | AE2 | 5,733,733 | 03/31/1998 | Auerbach | 435 | 6 | 02/01/1996 |
| | AF2 | 5,733,743 | 03/31/1998 | Johnson et al. | 435 | 320.1 | 06/10/1996 |
| | AG2 | 5,744,336 | 04/28/1998 | Hodges et al. | 435 | 172.3 | 03/08/1996 |
| | AH2 | 5,766,891 | 06/16/1998 | Shuman | 435 | 91.41 | 12/19/1994 |
| | AI2 | 5,776,449 | 07/07/1998 | Baum et al. | 424 | 93.2 | 09/20/1996 |
| | AJ2 | 5,830,707 | 11/03/1998 | Bushman | 435 | 69.7 | 06/05/1995 |
| <i>v</i> | AK2 | 5,837,242 | 11/17/1998 | Holliger et al. | 424 | 136.1 | 05/14/1996 |

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|---------------------|-----|--------------------|------------|----------------------------|-------|---------------|-------------|
| <i>u</i> | AL2 | WO 93/15191 | 08/05/1993 | WIPO <i>PCT</i> | | | Yes No |
| | AM2 | WO 93/19172 | 09/30/1993 | WIPO <i>PCT</i> | | | Yes No |
| | AN2 | CA 2,141,412 | 02/17/1994 | Canada | | | Yes No |
| | AO2 | WO 94/17176 | 08/04/1994 | WIPO <i>PCT</i> | | | Yes No |
| <i>v</i> | AP2 | WO 95/00555 | 01/05/1995 | WIPO <i>PCT</i> | | | Yes No |

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| <i>u</i> | AR | <u>2</u> | Abremski, K., et al., "Studies on the Properties of P1 Site-Specific Recombination: Evidence for Topologically Unlinked Products Following Recombination," Cell 32:1301-1311, Cell Press (1993). |
| <i>I</i> | AS | <u>2</u> | Adams, D.E., et al., "Cre-lox Recombination in Escherichia coli Cells: Mechanistic Differences from the in Vitro Reaction," J. Mol. Biol. 226:661-673, Academic Press, Inc. (1992). |
| <i>v</i> | AT | <u>2</u> | Andrews, B.J., et al., "The FLP Recombinase of the 2μ Circle DNA of Yeast: Interaction with Its Target Sequences," Cell 40:795-803, Cell Press (1985). |

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| u | AA3 | 5,843,772 | 12/01/1998 | Devine et al. | 435 | 69.1 | 11/18/1994 |
| | AB3 | 5,851,808 | 12/22/1998 | Elledge et al. | 435 | 172.3 | 02/28/1997 |
| | AC3 | 5,858,657 | 01/12/1999 | Winter et al. | 435 | 6 | 06/07/1995 |
| | AD3 | 5,871,907 | 02/16/1999 | Winter et al. | 435 | 6 | 03/31/1994 |
| | AE3 | 5,874,259 | 02/23/1999 | Szybalski | 435 | 91.1 | 11/21/1997 |
| | AF3 | 5,888,732 | 03/30/1999 | Hartley et al. | 435 | 6 | 06/07/1996 |
| | AG3 | 5,916,804 | 06/29/1999 | Bushman | 435 | 325 | 04/17/1998 |
| | AH3 | 5,919,676 | 07/06/1999 | Graham et al. | 435 | 172.3 | 06/07/1995 |
| | AI3 | 5,928,914 | 07/27/1999 | Leboulch et al. | 435 | 172.3 | 11/05/1996 |
| | AJ3 | 5,989,872 | 11/22/1999 | Luo et al. | 435 | 91.2 | 08/12/1997 |
| ↓ | AK3 | 6,010,884 | 01/04/2000 | Griffiths et al. | 435 | 69.7 | 05/29/1996 |

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|---------------------|-----|--------------------|------------|----------|-------|---------------|-------------|
| u | AL3 | WO 97/06265 | 02/20/1997 | WIPO PCT | — | — | Yes No |
| | AM3 | WO 97/09436 | 03/13/1997 | WIPO PCT | — | — | Yes No |
| | AN3 | WO 97/25446 | 07/17/1997 | WIPO PCT | — | — | Yes No |
| | AO3 | WO 97/32481 | 09/12/1997 | WIPO PCT | — | — | Yes No |
| ↓ | AP3 | WO 98/10086 | 03/12/1998 | WIPO PCT | — | — | Yes No |

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| u | AR | 3 | Andrews, B.J., et al., "Interaction of the FLP Recombinase of the <i>Saccharomyces cerevisiae</i> 2µm Plasmid with Mutated Target Sequences," <i>Mol. Cell. Biol.</i> 6:2482-2489, American Society for Microbiology (1986). | | | | |
| | AS | 3 | Anton, M., and Graham, F.L., "Site-Specific Recombination Mediated by an Adenovirus Vector Expressing the Cre Recombinase Protein: a Molecular Switch for Control of Gene Expression," <i>J. Virol.</i> 69:4600-4606, American Society for Microbiology (1995). | | | | |
| ↓ | AT | 3 | Araki, H., et al., "Site-specific Recombinase, R, Encoded by Yeast Plasmid pSR1," <i>J. Mol. Biol.</i> 225:25-37, Academic Press, Inc. (1992). | | | | |

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| <i>W</i> | AA4 | 6,040,430 | 03/21/2000 | Stewart | 530 | 358 | 12/26/1995 |
| <i> </i> | AB4 | 6,063,627 | 06/16/2000 | McVey et al. | 435 | 440 | 02/25/1998 |
| | AC4 | 5,348,886 | 09/20/1994 | Lee et al. | 435 | 320.1 | 09/04/1992 |
| | AD4 | 6,143,557 | 11/07/2000 | Hartley et al. | 435 | 320.1 | 01/20/1999 |
| | AE4 | 6,171,861 B1 | 01/09/2001 | Hartley et al. | 435 | 455 | 01/12/1998 |
| | AF4 | 5,286,632 | 02/15/1994 | Jones | 435 | 91.2 | 01/09/1991 |
| | AG4 | 5,334,575 | 08/02/1994 | Nabi et al. | 424 | 52 | 07/16/1992 |
| | AH4 | 5,650,557 | 07/22/1997 | Baum | 435 | 172.3 | 06/07/1995 |
| <i>↓</i> | AI4 | 5,728,551 | 03/17/1998 | Devine et al. | 435 | 91.41 | 03/02/1995 |
| | AJ | | | | | | |
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|---------------------|-----|-----------------|------------|----------------------|-------|---------------|----------------|
| <i>W</i> | AL4 | WO 99/10488 | 03/04/1999 | WIPO PCT | | | Yes No |
| <i> </i> | AM4 | WO 00/12687 | 03/09/2000 | WIPO PCT | | | Yes No |
| | AN4 | EP 1 035 208 A1 | 09/13/2000 | Europe EP | | | Yes No |
| | AO4 | WO 94/09127 | 04/28/1994 | WIPO PCT | | | Yes No |
| <i>↓</i> | AP4 | WO 98/53056 | 11/26/1998 | WIPO PCT | | | Yes X No |

OTHER (Including Author, Title, Date, Pertinent Pages, etc.)

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| <i>W</i> | AR | <u>4</u> | Argos, P., et al., "The integrase family of site-specific recombinases: regional similarities and global diversity," <i>EMBO J.</i> 5(2):433-440, IRL Press Limited (1986). |
| <i> </i> | AS | <u>4</u> | Astumian, J.H., et al., "Site-specific recombination between cloned attP and attB sites from the Haemophilus influenza bacteriophage HP1 propagated in recombination deficient <i>Escherichia coli</i> ," <i>J. Bacteriol.</i> 171:1747-1750, American Society for Microbiology (1989). |
| <i>↓</i> | AT | <u>4</u> | Atlung, T., et al., "A versatile method for integration of genes and gene fusions into the λ attachment site of <i>Escherichia coli</i> ," <i>Gene</i> 107:11-17, Elsevier/North-Holland (1991). |

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|---------------------|-----|--------------------|------------|----------|-------|---------------|-------------|
| W | AL5 | WO 99/21977 | 05/06/1999 | WIPO PCT | | | Yes No |
| | AM5 | WO 99/25851 | 05/27/1999 | WIPO PCT | | | Yes No |
| | AN5 | WO 99/55851 | 11/04/1999 | WIPO PCT | | | Yes No |
| | AO5 | WO 00/060091 | 10/12/2000 | WIPO PCT | | | Yes No |
| ↓ | AP5 | WO 01/05961 A1 | 01/25/2001 | WIPO PCT | | | Yes No |

OTHER (Including Author, Title, Date, Pertinent Pages, etc.)

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| W | AR | 5 | Ausubel, F.M., et al., "Maps of Plasmids pBR322 and pUC19," in <i>Current Protocols in Molecular Biology</i> , John Wiley & Sons, Inc., Boston, MA, (1995). |
| ↓ | AS | 5 | Ausubel, F.M., et al., "Mutagenesis by the Polymerase Chain reaction," in: <i>Current Protocols in Molecular Biology</i> , John Wiley & Sons, Inc., Boston, MA, pp. 8.5.1-8.5.9 (1995). |
| ↓ | AT | 5 | Babineau, D. et al., "The FLP Protein of the 2-micron Plasmid of Yeast," <i>J. Biol. Chem.</i> 260:12313-12391, American Society for Biochemistry and Molecular Biology, Inc. (1985). |

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| EXAMINER INITIAL | | DOCUMENT NUMBER | DATE | COUNTRY | CLASS | SUB-CLASS | TRANSLATION |
| <i>u</i> | AL6 | WO 01/11058 A1 | 02/15/2001 | WIPO <i>PCT</i> | | | Yes No |
| | AM | | | | | | Yes No |
| | AN | | | | | | Yes No |
| | AO | | | | | | Yes No |
| | AP | | | | | | Yes No |

| OTHER (Including Author, Title, Date, Pertinent Pages, etc.) | | | |
|--|----|----------|---|
| <i>u</i> | AR | <u>6</u> | Balakrishnan, R., et al., "A gene cassette for adapting <i>Escherichia coli</i> strains as hosts for <i>att</i> -Int-mediated rearrangement and <i>p_i</i> expression vectors," <i>Gene</i> 138:101-104, Elsevier/North-Holland (January 1994). |
| <i>↓</i> | AS | <u>6</u> | Bayley, C.C., et al., "Exchange of gene activity in transgenic plants catalyzed by the Cre-lox site specific recombination system," <i>Plant Mol. Biol.</i> 18:353-361, Dordrecht Kluwer Academic (1992). |
| <i>↓</i> | AT | <u>6</u> | Bethke, B., and Sauer, B., "Segmental genomic replacement by Cre-mediated recombination: genotoxic stress activation of the p53 promoter in single-copy transformants," <i>Nucl. Acids Res.</i> 25:2828-2834, Oxford University Press (1997). |

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| | AL | | | | | | Yes No |
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| u | AR | 7 | Bernard, P., and Couturier, M., "Cell Killing by the F plasmid CcdB Protein Involves Poisoning of DNA-topoisomerase II Complexes," <i>J. Mol. Biol.</i> 226:735-745, Academic Press, Inc. (1992). |
| ↓ | AS | 7 | Bernard, P., et al., "Positive Selection of vectors using the F plasmid ccdB killer gene," <i>Gene</i> 148:71-74, Elsevier Science Publishers B.V. (1994). |
| ↓ | AT | 7 | Betz, U.A.K., et al., "Bypass of lethality with mosaic mice generated by Cre-loxP-mediated recombination," <i>Curr. Biol.</i> 6:1307-1316, Current Biology Ltd. (October 1996). |

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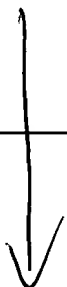
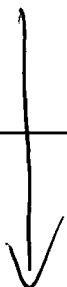
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| | AL | | | | | | Yes No |
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|  | AR | <u>8</u> | Bhandari, P. and Gowrishankar, J., "An <i>Escherichia coli</i> host strain useful for efficient overproduction of cloned gene products with NaCl as the inducer," <i>J. Bacteriol.</i> 179:4403-4406, American Society for Microbiology (July 1997). |
|  | AS | <u>8</u> | Black, L.W., "In vitro packaging into phage T4 particles and specific recircularization of phage lambda DNAs," <i>Gene</i> 46:97-101, Elsevier/North-Holland (1986). |
|  | AT | <u>8</u> | Bloch, C.A., et al., "Purification of <i>Escherichia coli</i> Chromosomal Segments without Cloning," <i>Biochem. Biophys. Res. Comm.</i> 223:104-111, Academic Press, Inc. (1996). |

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U.S. PATENT DOCUMENTS

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|  | AR | <u>10</u> | Brunelli, J.P. and Pall, M.L., "A Series of Yeast/ <i>Escherichia coli</i> λ Expression Vectors Designed for Directional Cloning of cDNAs and <i>cre/lox</i> -Mediated Plasmid Excision," <i>Yeast</i> 9:1309-1318, John Wiley & Sons Ltd. (1993). |
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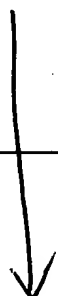
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|  | AR | <u>11</u> | Buchholz, F., et al., "A simple assay to determine the functionality of Cre or FLP recombination targets in genomic manipulation constructs," <i>Nucl. Acids Res.</i> 24(15):3118-3119, Oxford University Press (1996). |
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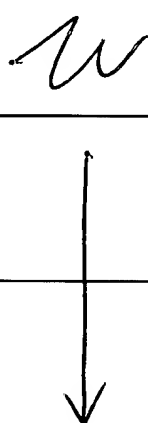
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| u | AR | <u>14</u> | Dale, E.C. and Ow, D.W., "Gene transfer with subsequent removal of the selection gene from the host genome," <i>Proc. Natl. Acad. Sci. USA</i> 88:10558-10562, National Academy of Sciences of the USA (1991). |
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| FORM PTO-1449 INFORMATION DISCLOSURE STATEMENT | ATTY. DOCKET NO. 0942.5000001 | APPLICATION NO. 09/695,065 |
| | APPLICANT Brasch <i>et al.</i> | |
| | FILING DATE October 25, 2000 | GROUP 1655 |

U.S. PATENT DOCUMENTS

| EXAMINER INITIAL | | DOCUMENT NUMBER | DATE | NAME | CLASS | SUB- CLASS | FILING DATE |
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| | AR | <u>15</u> | Devine, S. E., and Boeke, J.D., "Efficient integration of artificial transposons into plasmid targets <i>in vitro</i> : a useful tool for DNA mapping, sequencing and genetic analysis," <i>Nucl. Acids Res.</i> 22(18):3765-3772, Oxford University Press (September 1994). |
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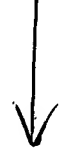
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|  | AR | <u>16</u> | Elledge, S.J., et al., "AYES: A multifunctional cDNA expression vector for the isolation of genes by complementation of yeast and <i>Escherichia coli</i> mutations," <i>Proc. Natl. Acad. Sci. USA</i> 88:1731-1735, National Academy of Sciences of the USA (1991). |
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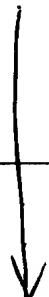
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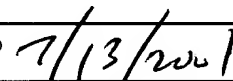
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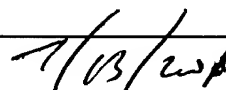
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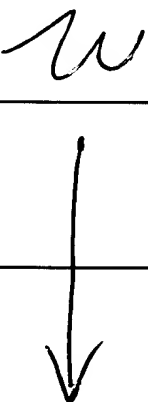
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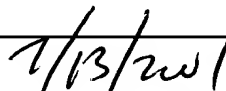
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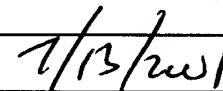
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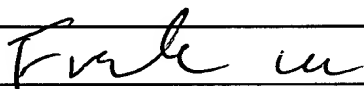
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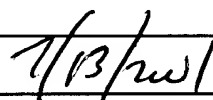
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OTHER (Including Author, Title, Date, Pertinent Pages, etc.)

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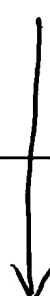
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| | AL | | | | | | Yes No |
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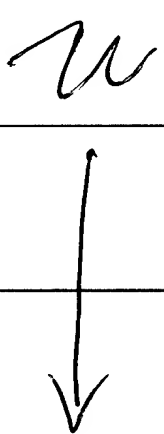
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|  | AT | <u>56</u> | Wild, J., et al., "Targeting and retrofitting pre-existing libraries of transposon insertions with FRT and oriV elements for in-vivo generation of large quantities of any genomic fragment," <i>Gene</i> 223:55-66, Elsevier/North-Holland (1998). |

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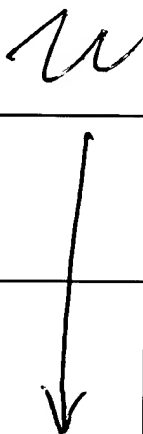
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|  | AR | <u>57</u> | Winoto, A., et al., "Directional Control of Site-specific Recombination by Bacteriophage λ ," J. Mol. Biol. 192:677-680, Academic Press, Inc. (1986). |
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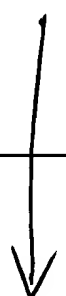
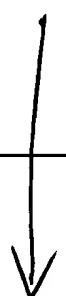
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|  | AR | <u>59</u> | Zhu, et al., "Homology requirements for ligation and strand exchange by the FLP recombinase," J. Biol. Chem. 270:11646-11653, American Society for Biochemistry and Molecular Biology, Inc. (1995). |
|  | AS | <u>59</u> | International Search Report for International Application No. PCT/US98/22589, mailed October 26, 1998. |
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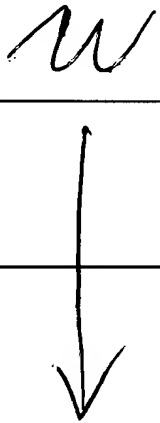
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|  | AR | <u>60</u> | Götz, F., et al., "Escherichia coli 30S mutants lacking protein S20 are defective in translation initiation," <i>Biochim. Biophys. Acta</i> 1050:93-97, Elsevier Publishing Co. (1990). |
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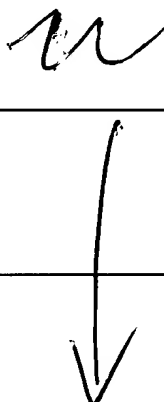
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|  | AR | <u>61</u> | Kitts, P.A. and Nash, H.A., "Bacteriophage Lambda Site-Specific Recombination Proceeds with a Defined Order of Strand Exchanges," <i>J. Mol. Biol.</i> 204:95-107, Academic Press, Inc. (1988). | | | | |
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| | AT | <u>61</u> | Mackie, G.A., "Nucleotide Sequence of the Gene for Ribosomal Protein S20 and Its Flanking Regions," <i>J. Biol. Chem.</i> 256:8177-8182, American Society for Biochemistry and Molecular Biology, Inc. (1981). | | | | |

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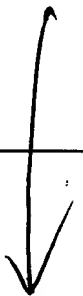

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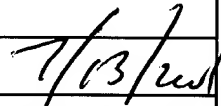
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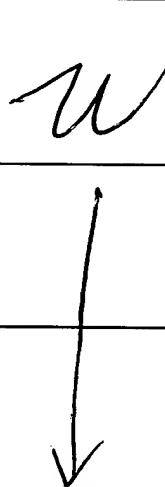
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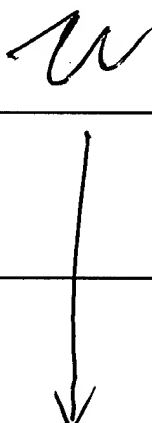
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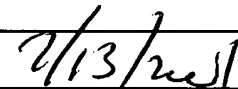
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FORM PTO-1449
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ATTY. DOCKET NO.
 0942.5000001

APPLICATION NO.
 09/695,065

APPLICANT
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FILING DATE
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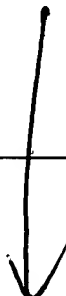
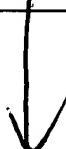
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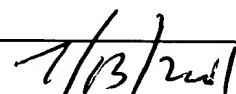
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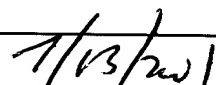
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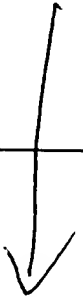

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| | AA | | | | | | |
| | AB | | | | | | |
| | AC | | | | | | |
| | AD | | | | | | |
| | AE | | | | | | |
| | AF | | | | | | |
| | AG | | | | | | |
| | AH | | | | | | |
| | AI | | | | | | |
| | AJ | | | | | | |
| | AK | | | | | | |

FOREIGN PATENT DOCUMENTS

| EXAMINER INITIAL | | DOCUMENT NUMBER | DATE | COUNTRY | CLASS | SUB- CLASS | TRANSLATION |
|---------------------|----|--------------------|------|---------|-------|---------------|-------------|
| | AL | | | | | | Yes No |
| | AM | | | | | | Yes No |
| | AN | | | | | | Yes No |
| | AO | | | | | | Yes No |
| | AP | | | | | | Yes No |

OTHER (Including Author, Title, Date, Pertinent Pages, etc.)

| | | | |
|---|----|----|--|
|  | AR | 84 | Dialog File 351 (Derwent World Patents Index), unverified English language abstract for WIPO/PCT Publication No. WO 98/53056 (Document No. AP4); WPI Accession No. 1999-000502/199901. |
|  | AS | 84 | Dialog File 351 (Derwent World Patents Index), unverified English language abstract for WIPO/PCT Publication No. WO 99/25851 (Document No. AM5); WPI Accession No. 1999-347485/199929. |
|  | AT | 84 | International Search Report for PCT/US00/29355, mailed February 26, 2001. |

EXAMINER

Brasch et al.

DATE CONSIDERED

1/13/2001

EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to Applicant.